

08/30/01  
1c952 U.S. PTO

08/31/01

DOCKET NO. 19603/1559 (CRF D-2052C)  
EXPRESS MAIL NO.: EL709323285US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL FORM  
(only for new nonprovisional applications under 37 CFR 1.53(b))

jc973 U.S. PTO  
09/14/01  
08/30/01

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231  
BOX: PATENT APPLICATION

SIR:

Transmitted herewith for filing is the patent application (including Specification, Sequence Listing, Claims, and Abstract, 70 pages) of:

Inventor(s): **Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan**

For : **DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS**

*\*\*If a CONTINUING APPLICATION, please mark where appropriate and supply the requisite information below and in a preliminary amendment:*

☒ continuation ☐ divisional ☐ Continuation-In-Part (CIP)  
of prior application Serial No. **09/025,635**

Prior application information: Examiner : **O. Zaghmout**  
Art Unit : **1638**

Enclosed are:

- ☒ 7 sheets of informal drawings.
- ☐ Signed Combined Declaration and Power of Attorney (\_\_\_\_ pages).
- ☒ Copy of signed Combined Declaration and Power of Attorney (2 pages) from a prior application (1.63(d) (for continuation/divisional).
- ☐ Signed statement deleting inventor(s) named in prior application (\_\_\_\_ pages) (1.63(d)(2) and 1.33(b)).
- ☒ **Incorporation By Reference:** The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the enclosed application and is hereby incorporated by reference therein.
- ☐ Assignment (\_\_\_\_ pages) of the invention to \_\_\_\_\_.
- ☐ Assignment Transmittal Letter.
- ☐ Certified copy of a foreign priority document.
- ☐ Associate power of attorney.
- ☒ Applicant claims small entity status. (See 37 CFR 1.27.)
- ☒ Preliminary Amendment (5 pages) and Appendix A (1 page).

- ☒ Information Disclosure Statement, form PTO-1449 (2 pages) and 24 references (not attached).
- ☐ **UNSIGNED** Combined Declaration and Power of Attorney (\_\_\_\_\_ pages).
- ☒ Request for Transfer of Computer Readable Record and Statement in Accordance with 37 CFR 1.821(f).
- ☒ A self-addressed, prepaid postcard acknowledging receipt.
- ☐ Other:

The Filing fee has been calculated as shown below:

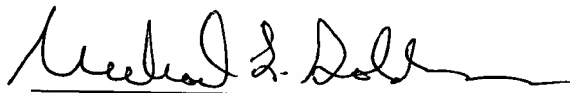
|   | (Col. 1)  | (Col. 2)  | SMALL ENTITY |       |    | LARGE ENTITY |       |
|---|-----------|-----------|--------------|-------|----|--------------|-------|
| FOR:  | NO. FILED | NO. EXTRA | RATE         | FEE   | OR | RATE         | FEE   |
| BASIC FEE   | XXXXXXXX  | XXXXXXXX  | XXXX         | \$355 | OR | XXXX         | \$710 |
| TOTAL CLAIMS  | 29 - 20 = | 9         | x 9 =        | \$ 81 | OR | x 18 =       | \$    |
| INDEP CLAIMS  | 2 - 3 =   | 0         | x 40 =       | \$ 0  | OR | X80 =        | \$    |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED |           |           | x135 =       | \$ 0  | OR | x270 =       | \$    |
|   |           |           | TOTAL        | \$436 | OR | TOTAL        | \$    |

\*If the Total Claims are less than 20 and Indep. Claims are less than 3, enter "0" in Col. 2

- ☒ A check in the amount of **\$436.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1138. **A duplicate copy of this sheet is enclosed.**
- ☒ Address all future communications to:

Michael L. Goldman, Esq.  
NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051

Date: August 30, 2001

  
Michael L. Goldman  
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**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 19603/1559 (CRF D-2052C)  
APPLICANT: Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan  
TITLE: DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS

Certificate is attached to the **Utility Patent Application Transmittal Letter (2 pages)** of the above-named application.

EXPRESS MAIL NUMBER: EL709323285US  
DATE OF DEPOSIT: August 30, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, Box: Patent Application.

Suzanne Ciaio  
(Typed or printed name of person  
mailing paper or fee)

*Suzanne Ciaio*  
(Signature of person mailing paper  
or fee)

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Certificate is attached to the Preliminary Amendment (5 pages) and Appendix A (1 page) of the above-named application.

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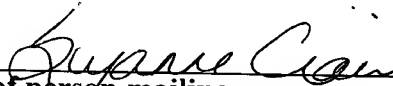
Certificate is attached to the **Copy of the Utility Patent Application Including Specification, Sequence Listing, Claims, and Abstract (70 pages) and Unsigned Combined Declaration and Power of Attorney (2 pages)** as filed in the prior application of the above-named application.

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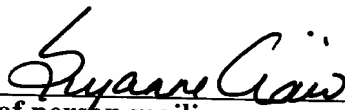
Certificate is attached to the **Request for Transfer of Computer Readable Record and Statement in Accordance with 37 CFR 1.821(f)** of the above-named application.

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Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (2 pages)** as filed in the prior application of the above-named application.

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Certificate is attached to the copy of **Informal Drawings (7 sheets)** as filed in the prior application of the above-named application.

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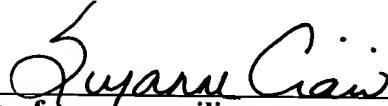
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(Signature of person mailing paper  
or fee)

**TITLE:** DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS

**INVENTORS:** Sheng-Zhi Pang, Dennis Gonsalves,  
and Fuh-Jyh Jan

**DOCKET NO.:** 19603-1552 (CRF D-2052B)

19603-1552 (CRF D-2052B)